

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Kazumo GOTO, et al.

Application No.: Unknown

Filed: September 22, 2003

Art Unit: Unknown

Examiner: Unknown

Atty. Docket No.: 501152.20021

Customer No.: 026148

WATER BASE INK FOR INK-JET
RECORDING AND METHOD FOR
PREPARING WATER BASE INK FOR
INK-JET RECORDING

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
Alexandria, VA 22313

Sir:

This Information Disclosure Statement is filed in accordance with 37 C.F.R. §§ 1.56, 1.97 and 1.98. Enclosed is Form PTO-1449 which lists each of the references along with a copy of each of the references.

CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)

I hereby certify that this paper (along with any document referred to as being attached or enclosed) is being

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☒ deposited with the United States Postal Service as Express Mail under 37 CFR 1.10 on September 22, 2003 and is addressed to the: Commissioner for Patents, Alexandria, VA 22313.

☐ transmitted by facsimile on [date] to the U.S. Patent and Trademark Office.

Ruth Montalvo


(Signature of person mailing paper or fee)

Type Signature Name

(Signature of person mailing paper or fee)

Each of these references may be deemed to be pertinent to the above-identified application and are made of record to assist the Patent and Trademark Office in its examination of this application. The Examiner is respectfully requested to fully consider the item and to independently ascertain its teaching.

1. ☒ Enclosed is PTO Form 1449 (and a duplicate thereof).
2. ☒ Items listed on the enclosed Form PTO-1449 are not in the English language.

☒ For each of the following items, an English-language translation of that item or a portion thereof or a concise explanation of the relevance of that item is attached:

Japanese Patent Application No. 11-263930

☐ For each of the following items, a concise explanation of that item is incorporated in the specification of the above-identified application:_____.

☐ For each of the following items, a corresponding U.S. or other English-language patent is enclosed. Please consider the U.S. or other English-language patents in accordance with the procedure set forth in MPEP § 609:

3. ☐ Submission in Accordance with 37 CFR § 1.98(d).

Any copy of the items listed on the enclosed Form PTO-1449 that is not enclosed with this Information Disclosure Statement was previously cited by or submitted to the Patent and Trademark Office in Application Serial No. [Ser. No.], filed [Date], of which the present application relies upon for an earlier filing date under 35 U.S.C. 120.

4. ☐ Submission in Accordance with 37 CFR § 1.97(b).

This Information Disclosure Statement is being filed

- ☒ With the application;
- ☐ Within three months of the filing date of a national application;
- ☐ Within three months of the date of entry of the national stage in an international application; or

- ☐ Before the mailing date of a first Office Action on the merits,

and NO FEE is due for consideration of this Information Disclosure Statement.

5. ☐ **Submission in Accordance with 37 CFR 1.97(c).**

This Information Disclosure Statement is being filed before the first mailing date of either

- ☐ A final action under § 1.113; or
- ☐ A notice of allowance under § 1.311.
- ☐ A fee is due for consideration of this Information Disclosure Statement and the fee is paid below; or
- ☐ This Information Disclosure Statement is accompanied by one of the certifications pursuant to 37 CFR § 1.97(e), and NO FEE is due for consideration of this Information Disclosure Statement.

6. ☐ **Submission in Accordance with 37 CFR 1.97(d).**

This Information Disclosure Statement is being filed after the mailing date of either

- ☐ A final action under § 1.113; or
- ☐ A notice of allowance under § 1.311,

whichever comes first, but before payment of the issue fee, and is accompanied by

- a. One of the certifications pursuant to 37 CFR § 1.97(e), which is set forth below;
- b. The attached petition requesting consideration of this Information Disclosure Statement; and
- c. The petition fee under 37 CFR § 1.17(i)(1), which is paid below.

7. **Certification Pursuant to 37 CFR 1.97(e).**

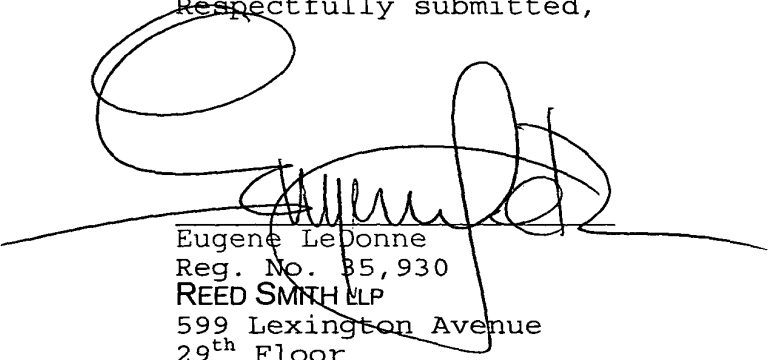
- ☐ The undersigned certifies that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application not more than three months prior to the filing of this Information Disclosure Statement; or

- ☐ The undersigned certifies that no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, or to my knowledge after making reasonable inquiry, was known to any individual designated in 37 CFR § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

8. Fee Payment Being Made.

- ☐ Enclosed
- ☐ \$240.00 fee for submission under 37 CFR § 1.97(c).
- ☐ \$130.00 fee for submission under 37 CFR § 1.97(d).
- ☐ A check in the amount of \$[Amount] to cover the fee payment is enclosed.
- ☐ Charge the fee to Deposit Account No. 50-1529. A duplicate copy of this communication is attached.
- ☒ The Director is hereby authorized to charge payment of any additional fees associated with this Information Disclosure Statement or credit any overpayment to Deposit Account No. 50-1529. A duplicate copy of this communication is enclosed.

Respectfully submitted,



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Attorney for Applicants

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Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>				Complete if Known	
				Application Number	Unknown
				Filing Date	September 22, 2003
				First Named Inventor	Kazuma Goto
				Art Unit	Unknown
				Examiner Name	Unknown
				Attorney Docket Number	501152.20021
Sheet	1	of	1		

[illegible][illegible]

Examiner Signature		Date Considered	
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Alexandria, VA 22313.**